Strategic Goal 3: Homeland Security
Secure the Homeland by Strengthening Arrangements that Govern the Flows of People, Goods, and Services Between the United States and the Rest of the World

I. Public Benefit

The events of 9/11 proved how susceptible the United States and its allies are to those who would do them harm. The Department, together with the Department of Homeland Security (DHS) and other U.S. Government agencies, is addressing U.S. vulnerabilities to terrorist attacks and other transnational threats within the United States. The Department is protecting our homeland by strengthening the visa process as a tool to identify potential terrorists and others who should not receive visas and prevent those people from entering the U.S. The strengthening of U.S. physical and cyber borders against people who threaten U.S. security requires the security of the global networks of commerce, travel, and communications that enable the vital free flow of bona fide travelers and goods. At the same time, the Department is combating the ability of terrorists to travel, finance their activities, plan and conduct attacks, and recruit and train new adherents.

II. Resource Summary (\$ in Thousands)

	FY 2004 Actual	FY 2005 Estimate	FY 2006 Request	Change from FY 2005	
				Amount	%
Staff [1]	560	566	566	0	0.0%
Funds [2]	\$956,504	\$189,686	\$197,836	\$8,150	4.3%

III. Strategic Goal Context

Shown below are the performance goals, initiatives/programs, and the resources, bureaus and partners that contribute to accomplishment of the "Homeland Security" strategic goal. Acronyms are defined in the glossary at the back of this publication.

Strategic Goal	Performance Goal (Short Title)	Initiative/Program	Major Resources	Lead Bureau(s) [3]	Partners
Homeland Security	Proper Visa Adjudication	Visa and Consular Services/Border Security	D&CP	CA	DHS, DOJ, DOL, FBI, CIA, NARA, DoD, SSA
	Border Agreements	Border Initiatives to Protect the Homeland	D&CP	WHA	DHS, DOJ, FBI
	Infrastructure Network Protection	Protect Transportation and Cyber Infrastructure	D&CP	EB, PM, IO	DHS, ICAO, IMO, ILO
		Critical Infrastructure Protection	D&CP	EB, PM, *USAID*	DHS, DOJ, DOC, DoD, DOE, APEC, OAS, OECD, G-8, UNGA

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[1] Department of State direct-funded positions.
[2] Funds include both Department of State Appropriations Act Resources and Foreign Operations Resources, where applicable.
[3] USAID components are shown in blue italicized fonts.

IV. Performance Summary

For each Initiative/Program that supports accomplishment of this strategic goal, the most critical FY 2006 performance indicators and targets are shown below.

Annual Performance Goal #1
DENIAL OF VISAS TO FOREIGN CITIZENS WHO WOULD ABUSE OR THREATEN THE UNITED STATES, WHILE FACILITATING ENTRY OF LEGITIMATE APPLICANTS

I/P #1: Visa and Consular Services/Border Security
(PART Program)

Improve ability to process visas and other services while maintaining the ability to detect when it is appropriate to deny a visa.

		Outcome Indicator
		Indicator #1: Development of a Biometrics Collection Program for U.S. Visas
TARGETS	**FY 2006**	Facial recognition (FR) checks will be expanded to include all visa applicants, including applicants who have had a fingerprint biometric collected. This step will be taken because the USG has many more photos than fingerprints available for comparison. Success will depend on our ability to set a return threshold that allows us to manage the number of search returns, rather than the current approach of using forced matches for all FR submissions. This approach will allow us to ensure control over FR workload, and keep it consistent with current FR review volume. Effectiveness will be measured by an increase in the number of malafide applicants identified through the program and by a reduction in the number of false positives.
	FY 2005	Facial recognition checks for both fraud management and security purposes will be made more effective by expanding the number of entries in the photo watchlist and by technological and program improvements. Effectiveness is measured by an increase in the number of malafide applicants identified through the program and by a reduction in the number of false positives.
RESULTS	2004	1. As of October 7, 2004 all 207 visa adjudicating posts were collecting biometrics and issuing biovisas. 2. FR review of Diversity Visa (DV) lottery entries and pilot NIV posts continued. On October 26, FR screening began for all NIV cases in which fingerprints not collected.
	2003	1. Developed recommendations on biometric standards for visas. 2. Used FR technology to disqualify over 20,000 from the annual DV lottery for filing duplicate entries. To evaluate FR's full potential for combating visa and passport fraud, launched a facial recognition pilot for nonimmigrant visas (NIV). 3. Began worldwide deployment of biometric NIV software, with Brussels as the first pilot post. Fingerprint capture equipment and new software for NIV production was also deployed at Frankfurt, Guatemala City, and San Salvador.
	2002	1. Biometric BCC program continued. 2. Production of BCCs at U.S. Embassy in Mexico supplemented BCC production by the Immigration and Naturalization Service in periods of great demand. Use of FR technology expanded.
	2001	1. Biometric BCC program continued. 2. Facial recognition technology was used to disqualify duplicate entries in DV lottery.
DATA QUALITY	Indicator Validation	Testing of the systems to determine whether they work as intended and successful use of the systems to capture and share biometric data and produce visas incorporating the agreed upon technology standards will indicate whether the program has been a success.
	Data Source	Bureau of Consular Affairs workload statistics and management reports.

Annual Performance Goal #2

IMPLEMENTED INTERNATIONAL AGREEMENTS TO STOP THE ENTRY OF MATERIALS THAT COULD HARM THE UNITED STATES, WHILE ENSURING THE TRANSFER OF BONA FIDE MATERIALS

I/P #2: Border Initiatives to Protect the Homeland

Develop and implement broad plans to strengthen border security while enhancing the secure flow of people, goods, and services.

Outcome Indicator

Indicator #1: Status of the Border Security Initiatives

TARGETS	FY 2006	1. Complete pilot project of visa lookout sharing with Canada by 12/30/06. 2. Complete operational testing of visa outlook sharing with Mexico by 3/30/06.
	FY 2005	1. Canada: Conclude expanded visa lookout sharing negotiations. 2. Mexico: Establish memorandum of understanding to allow sharing of specific U.S. visa lookouts.

RESULTS	2004	1. Six sites identified for SENTRI lanes. Plans for second lane at Tijuana site 100% complete, construction to be completed in December 2004. Plans for lane at Mexicali 100% complete in August, construction to begin in November. Design for lanes at Nogales, Nuevo Laredo and Matamoros underway. USG and Government of Mexico standardized fees for SENTRI lane at Ciudad Juarez. Vehicle and Cargo Inspection System (VACIS) put into operation at Colombia, Nuevo Laredo, and Piedras Negras. Mobile X-Ray Inspection Units deployed and operational at Mexico City, Cancun, and Tijuana airports. Site preparation and hardware and cobalt source received for VACIS installation at Mexicali (port and rail), Mexico City Pallet, and Nogales Portal. Three VACIS trucks for highway inspections ordered. Assessment of additional border security operations was ongoing. 2. NEXUS and FAST in place at 11 major points of entry; additional FAST lanes were operational at Blaine (WA) in October 2004 and Ambassador Bridge (Detroit, MI) in November 2004. Information Sharing: U.S. and Canada discussed further enhancements to current arrangement and practices during the October 2004 Smart Border Accord meeting in Ottawa. Visa Coordination: The U.S. and Canada met in September to conduct side-by-side comparison of each country's visa process and visa waiver review procedures, in order to identify potential points of convergence as well as security weaknesses.
	2003	All programs proceeded largely on schedule. Slight delay in Advanced Passenger Information/ Passenger Name Record program with Canada.
	2002	The 30-point Canadian plan and the 22-point Mexican plan were launched.
	2001	Baseline: Dialogue started with the Canadian government to work together on border issues.

DATA QUALITY	Indicator Validation	Cooperation with neighboring countries promotes border security and homeland security.
	Data Source	U.S., Canadian, and Mexican government progress reports.

Annual Performance Goal #3
PROTECTION OF CRITICAL PHYSICAL AND CYBER INFRASTRUCTURE NETWORKS THROUGH AGREEMENTS AND ENHANCED COOPERATION

I/P #3: Protect Transportation and Cyber Infrastructure

Build international coalitions to protect transportation and communications networks.

Outcome Indicator

Indicator #1: Level of Implementation and Expansion of the Container Security Initiative (CSI)

TARGETS	FY 2006	1. Reduce opportunities for terrorist exploitation of containers traffic by refining the targeting mechanisms and risk management techniques developed as part of CSI; 90% of U.S.-bound container traffic covered. 2. Best practices are promulgated through multilateral fora such as the IMO, WCO, APEC, G-8 and other organizations. These best practices are still under development.
	FY 2005	1. Eleven additional countries sign Declarations of Principles to participate in CSI. 2. Additional partner countries deploy teams to the U.S. under the reciprocity aspects of CSI. 3. CSI best practices adopted at non-CSI ports.
RESULTS	2004	Deployments in 26 ports.
	2003	1. 19 of the top 20 (large) ports that ship to the U.S. have signed Declarations of Principles to participate in the CSI program. 2. Additional "pilot phase" deployments began at 16 ports.
	2002	Baseline: Launch of the CSI. Nine countries signed on, encompassing fourteen of the initial twenty large ports. CSI "pilot phase" deployment began in two countries.
	2001	N/A
DATA QUALITY	Indicator Validation	Security screening of containers at foreign ports before ships depart for the U.S. decreases both the appeal to terrorists and the vulnerability of the vital maritime transportation sector and, in the event of an incident, allows more expeditious resumption of maritime commerce.
	Data Source	Department of Homeland Security

Output Indicator

Indicator #2: Status of International Civil Aviation Organization (ICAO) Security Audit Program

TARGETS	FY 2006	1. Airports in an additional 40 countries to be scheduled for security audit. 2. Countries with poor security audits have received remedial assistance. Countries receiving remedial assistance as a result of poor security audits are re-audited.
	FY 2005	1. Virtually all countries require manifests before boarding, have machine-readable passports with biometrics. 2. Audits are completed in another 40 countries. 3. Countries with poor security audits have received remedial assistance.
RESULTS	2004	ICAO completed 26 audits.
	2003	1. ICAO selected facial recognition as the globally interoperable biometric for passports and other Machine Readable Travel Documents (MRTDs) and high-capacity, contactless integrated circuit chips to store identification information in MRTDs. 2. ICAO has completed 60 audits.
	2002	ICAO accepted U.S. suggestions for development of a security audit program, hardened cockpit doors, adding biometric indicators to travel documents, and upgrading recommended security practices to become required standards.
	2001	Baseline: After 9/11, ICAO endorsed development of enhanced security provisions and a security audit program.
DATA QUALITY	Indicator Validation	These reports are the baselines for agency accountability in ensuring that airports around the world comply with the international security standards established by ICAO, a critical defense against terrorist attacks on civil aviation.
	Data Source	ICAO

Output Indicator

Indicator #3: Implementation of International Security Standards for Shipping and Ports

TARGETS	FY 2006	U.S. Coast Guard (USCG) assesses 45 additional international ports.
	FY 2005	1. Countries representing 90% of all shipping calling on U.S. ports implement International Maritime Organization (IMO) standards. 2. USCG assesses 30 foreign ports.
RESULTS	2004	1. Seventy-five percent of countries with shipping services to the U.S. implemented IMO standards. 2. USCG assessed 2 ports.
	2003	1. USCG issued national port and vessel security regulations based on the IMO standards and the Maritime Transport Security Act. 2. ILO adopted international standards for security features on mariner identification documents. 3. U.S. started testing secure documents for transportation workers.
	2002	1. International Maritime Organization adopted standards for ship and port facility security. 2. U.S. passed the Maritime Transport Security Act.
	2001	The IMO started work on drafting international standards for maritime and port security.
DATA QUALITY	Indicator Validation	The USCG provides public notice of compliance with IMO standards. Maritime security standards are fundamental to protection of global commerce.
	Data Source	IMO and USCG

I/P #4: Critical Infrastructure Protection

Strengthen critical physical and cyber infrastructures upon which our national and homeland security depend.

Output Indicator

Indicator #4: Number of Countries with Critical Infrastructure Protection (CIP) Action Plans

| TARGETS | FY 2006 | 170 countries have CIP Action Plans in place or in progress. |
| | FY 2005 | 110 countries have CIP Action Plans in place or in progress. |

RESULTS	2004	96 countries had CIP Action Plans in place or in progress.
	2003	Baseline: 69 countries had CIP Action Plans in place or in progress. (This figure includes countries with which the U.S. has had bilateral or multilateral cyber and physical security exchanges).
	2002-2001	N/A

| DATA QUALITY | Indicator Validation | This indicator is a measure of global awareness of, and participation in, CIP. Awareness of the problem is a critical first step to undertaking cooperative international activities. The U.S. raises awareness primarily through international organizations and multilateral fora, in order to reach the widest possible audience. The goal is to encourage countries to adopt national CIP plans and to cooperate in international and multilateral organizations to adopt mutually shared CIP objectives. |
| | Data Source | G-8, APEC, OECD, OAS, and NATO. |

V. Illustrative Examples of FY 2004 Achievements

Homeland Security	
Biometric Visa Program	The Department's Biometric Visa Program has improved border security by checking the fingerprints of visa applicants against the fingerprint watch list in the Department of Homeland Security (DHS) Automated Biometric Identification System (IDENT), which contains fingerprints of suspected terrorists, wanted persons, criminals, and immigration violators. As of September 2004, the fingerprints of over 1,200 visa applicants have been positive hits against fingerprints on the IDENT watch list. The Biometric Visa Program was deployed to all visa-issuing posts three weeks ahead of the October 26, 2004, legislative deadline.
Visa Denials	The Department has expanded the use of facial recognition (FR) technology to detect fraudulent visa applications. The Kentucky Consular Center (KCC) used FR to disqualify 20,000 potential winners in the annual Diversity Visa lottery based on unallowable duplicate entries. Diversity visa lottery registration in November/December 2003 was conducted for the first time electronically, enabling KCC to utilize FR technology against digital photos of all applicants. In April 2004, KCC launched a FR pilot for nonimmigrant visas. Thirteen posts participate, representing a cross-section of geographic bureaus. In addition to identifying possible fraud, the results will assist in developing a policy on FR, the globally interoperable biometric selected by International Civil Aviation Organization for machine-assisted identity confirmation using Machine Readable Travel Documents. On October 26, 2004, KCC began running FR checks on all applications in which fingerprints were not collected to further improve the security of the visa process.
Container Security Initiative	The Department spearheaded global efforts to protect transportation networks through stronger shipping and aviation security rules. Nineteen of the twenty largest world ports committed to participate in the Container Security Initiative (CSI). In addition, the program expanded to other strategic ports including Malaysia and South Africa. CSI is now operational in twenty-six ports and at least two countries, Canada and Japan, have utilized the reciprocal aspects of the program to have their customs officials present at U.S. ports to observe cargo bound for their countries.

VI. Resource Detail

Table 1: State Appropriations by Bureau ($ Thousands)

Bureau	FY 2004 Actual	FY 2005 Estimate	FY 2006 Request
European and Eurasian Affairs	$46,796	$47,088	$47,088
African Affairs	15,475	16,906	16,832
Western Hemisphere Affairs	15,131	15,551	16,174
East Asian and Pacific Affairs	13,626	13,984	14,544
Other Bureaus	859,576	91,067	93,402
Total State Appropriations	**$950,604**	**$184,596**	**$188,040**

Table 2: Foreign Operations by Account ($ Thousands)

Title/Accounts	FY 2004 Actual	FY 2005 Estimate	FY 2006 Request
Export-Import Bank			
Overseas Private Investment Corporation			
Trade and Development Agency	2,982	3,065	2,934
USAID	2,050	0	0
Global HIV/AIDS Initiative			
Other Bilateral Economic Assistance	0	0	4,098
Independent Agencies			
Department of State	0	0	1,200
Department of Treasury			
Conflict Response Fund			
Millennium Challenge Account			
International Military Education and Training	230	465	620
Foreign Military Financing	638	1,560	944
Peacekeeping Operations			
International Development Association			
International Financial Institutions			
International Organizations and Programs			
Total Foreign Operations	**$5,900**	**$5,090**	**$9,796**
Grand Total	**$956,504**	**$189,686**	**$197,836**